

ROUTING AND RECORD SHEET

DD/M&S Registry
File *Records*

SUBJECT: (Optional)

STAT

FROM:

C/ISAS

EXTENSION

NO.

STAT

DATE

9 May 1974

TO: (Officer designation, room number, and building)

DATE

RECEIVED

FORWARDED

OFFICER'S INITIALS

COMMENTS (Number each comment to show from whom to whom. Draw a line across column after each comment.)

1. DDM&S
Mr. Brownman

15 MAY 1974

1. Attached for your approval is the first Records Management Survey since we discussed sending the report as a DDM&S document. Since this is a first, if you have any changes that you want made in format we would appreciate knowing what those are. We now have four surveys on tap to do. The most interesting feature of these, I think, is that the offices are requesting them rather than our soliciting work.

Of particular significance are the recommendations made in paragraphs 5 d, 5 f, 5 g, and 5 l, which, if accepted, would allow the Records Management Officer to devote more time to the Program and reduce the storage space needed for bulky material routinely received and stored. Compliance with paragraphs 5 f and 5 g would reduce the need for approximately 60 cubic feet of storage space and 5 l, which recommends that OWI request analog material from NSA in microform, would eliminate the need for a 350 cubic foot vault. Substantial economies are available elsewhere as indicated in the report.

Incidentally, this report has been deliberately prepared in single-sided mode so that the recipient office can break up the report and distribute it to the Division level.

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15.

5/15/74

09 MAY 1974

MEMORANDUM FOR: Director, Office of Weapons Intelligence

SUBJECT : Records Management Survey of the Office
of Weapons Intelligence

1. Forwarded herewith is a copy of the final report on the records management survey conducted by the Records Administration Branch in the Office of Weapons Intelligence between December 1973 and April 1974. While a conscientious effort is being made to manage office records, we believe there are certain areas where improvements can be made. Should your Records Officer require assistance in implementing these recommendations, personnel from this Staff are available to assist him.

2. I would appreciate having your comments regarding this survey by 14 June 1974.



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Chief

Information Systems Analysis Staff

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APPROVED:



HAROLD L. BROWNMAN

Deputy Director

for

Management and Services

15 MAY 1974

RECORDS MANAGEMENT SURVEY OF
THE OFFICE OF WEAPONS INTELLIGENCE

SUMMARY AND CONCLUSION

1. The survey was conducted from December 1973 through April 1974 and included all locations occupied by the office of Weapons Intelligence (OWI).
2. The scope of the survey included examining records for duplication, file arrangement, filing equipment used to store records, records disposition, mail-handling operations, forms management, office space layout and procedures used in carrying out records management functions.
3. The analysts in OWI, like analysts in other offices, receive enormous amounts of material that must be screened. In so doing, files continue to grow unless there are some systematic procedures developed to keep the files to a manageable size. Most analysts contacted during this survey seemed to think that once records are retired to the Agency Records Center, they are no longer available to the analysts. Therefore, they are skeptical about releasing their files to the Records Center for fear they will not get them back when they need them. The Records Center provides rapid retrieval services for files to meet the needs of Agency components. More use of the Records Center by the analysts will alleviate their fears.
4. Establishing a centralized scientific reference library for OWI would benefit the office. This would be especially practical if all the OWI divisions move to the same general area. During the survey it was noted that many of the same general reference materials existed in several locations. This duplication not only costs money, but it utilizes valuable space.
5. It was noted throughout the office that all of the divisions and several of the branches were maintaining separate travel folders for each employee who had performed official travel. These folders utilize safe space that would be freed if the travel vouchers were in one folder. Also, it would appear unnecessary for the office components to retain the travel vouchers since this is a duplication of records kept in the Administrative Branch.
6. Although working level personnel were willing and even eager to accept solutions to problems under their control, senior management endorsement, guidance and support is necessary to the execution of the recommendations. These are summarized below and discussed at length in the following pages:

- a. Recommend an office notice be published and disseminated to all concerned announcing the establishment of a records management program in OWI and providing instructions for implementing it. It is essential to have top management support in organizing and implementing a records management program.
- b. Recommend personnel soft files be converted to light-weight file folders and the heavy duty file folders be returned to stock.
- c. Recommend the responsibility for the day-to-day running of the registry be delegated to the second in charge, allowing the Records Management Officer to devote more time to the records management program as well as supervising the registry.
- d. Recommend a training program be established for all registry personnel to increase skills and provide for a more efficient registry operation.
- e. Recommend that arrangements be made for contractors to send draft copies of reports to OWI for review, rather than ship the total number of copies which must be stored in OWI until proofread and corrected.
- f. Recommend that the registry discontinue storing finished intelligence reports since they are available from supplemental distribution in the Records Center and the CRS Library. The record copy is also available from the Agency Archives.
- g. Recommend adequate space be provided for the registry to include a desk for each employee working in the registry.
- h. Recommend the Records Management Officer conduct a records survey of all records and material in the Naval Systems Division in coordination with the responsible people of the division and list the

records under the correct file series. If records are found that do not come under a series on the records control schedule, the control schedule should be amended to include these records.

- i. Recommend appropriate disposition be made of all material within the Naval Systems Division that is not being used on a current basis. This is to include both material stored in safes and in the vault.
- j. Recommend that all records located on shelves in the vault in the Naval Systems Division area be filed in a vertical position with adequate shelf guides and labels for identification.
- k. Recommend all analogs in the Signal Analysis Division vault be screened for current and future value. Those determined to have future value to be retired to the Agency Records Center. We also recommend that an attempt be made to have the producers of the analogs (NSA) provide them to CIA on microfilm instead of hard copy.
- l. Recommend all TEBAC files be screened and those of non-current use be retired to the Records Center.
- m. Recommend that a copy of document requests be kept in suspense until the requested document is received, then the document request be destroyed.
- n. Recommend the Current Intelligence Branch replace the three filing cabinets with open library shelving.
- o. Recommend the files in the Technical Analysis Division file room be maintained under the supervision of the division secretary.
- p. Recommend that the two CRT terminals be moved from the TAD file room to the analysts' work area to allow for easy access by the analysts and better utilization of the terminals.

- q. Recommend that personnel soft files now retained in Defensive Systems Division be discontinued since identical files are kept in the Administrative Branch.
- r. Recommend a screening of all branch files in the Anti-Ballistic Missile/Anti-Satellite Branch take place to determine what is needed in the work area and what can be retired to the Records Center or destroyed.
- s. Recommend non-current division and branch files of the Offensive and Space Systems Division be retired to the Records Center on a timely basis. The office records control schedule allows for this in most cases, but there is not adequate follow-up to ensure that this is done.
- t. Recommend the vault in Room 4G-04 be made the responsibility of a person occupying a position with the authority necessary to establish and enforce guidelines for the proper use of the vault.

DISCUSSION

Office of the Director

1. The Director's office, his Deputy, the Executive Officer and the Administrative Branch are all located in the same suite, Room 1D-1617, Headquarters Building. This appears to be an ideal arrangement for providing the Director with easy access to all administrative and management records. This close proximity would also seem to make it unnecessary to maintain duplicate administrative and management records.

2. The survey team looked for records management policy statements which support the issuance of instructions, procedures and control. Every records management program should be supported with written policy statements, appropriate instructions, procedures, and controls. These documents should be distributed to all concerned, be clearly understood, and be effective to ensure positive results. However, no written policy statements or instructions relating to records management was found to exist in this office except an office notice appointing a Records Management Officer. Personnel from the Records Administration Branch are available to assist in developing written instructions.

RECOMMENDATION #1

Recommend an office notice be published and disseminated to all concerned, announcing the establishment of a records management program in OWI and providing instructions for implementing it. It is essential to have top management support in organizing and implementing a records management program.

Administrative Branch

1. The Administrative Branch files were examined and for the most part were found to be in excellent order. It was noted that fitness reports on employees of the office are maintained in the employee soft file and in another file known as the Biographic Profile. All information that is maintained in the Biographic Profile can be found in the soft file. However, we were told that this duplication eliminated the need to periodically take information from the soft file and have it copied for use by the career panel.

2. Personnel soft files are being maintained in heavy duty file folders which are more costly than the light-weight folders. These folders also require more filing space.

RECOMMENDATION #2

Recommend personnel soft files be converted to light-weight file folders and the heavy duty file folder be returned to stock.

Registry

1. The registry is staffed by three employees. From personal observations this appears to be more than adequate to fulfill the requirements of registry duties. The supervisor of the registry who is also the Records Management Officer for the office seems to be doing much of the routine registry duties. This makes it difficult for him to devote the time necessary to perform the needed records management duties.

RECOMMENDATION #3

Recommend the responsibility for the day-to-day running of the registry be delegated to the second in charge, allowing the Records Management Officer to devote more time to the records management program as well as supervising the registry.

2. With proper training, more responsibilities could be assigned to registry personnel, providing for a more efficient registry operation. There are several good internal and external training courses available that would be beneficial to the registry employees.

RECOMMENDATION #4

Recommend a training program be established for all registry personnel to increase skills and provide for a more efficient registry operation.

3. Reports are received by the registry from outside contractors for dissemination. There are approximately 20 external research contracts. Approximately 8 to 35 customers receive these reports, and dissemination can range from 1 to 15 copies of a report to a customer. Three or four reports come in weekly, making a total of about 300 copies received. When these reports are received in the registry, one

copy is pulled and an action sheet is attached and sent to a monitor for critique. This critique usually takes a minimum of two weeks. The remainder of the copies are retained in the registry until the critique is completed. Upon completion of the critique, the registry disseminates these copies if no corrections are to be made. If corrections are necessary, an errata sheet is attached to the report and dissemination made. Extra copies of the report are sent to the Records Center for supplemental distribution.

RECOMMENDATION #5

Recommend that arrangements be made for contractors to send draft copies of reports to OWI for review, rather than ship the total number of copies which must be stored in OWI until proofread and corrected.

4. The registry maintains a file of finished intelligence reports produced by OWI. These copies are being converted to microfiche and retained for a period of eight years. At the end of the eight year period, these reports are reviewed for possible destruction or longer retention. This collection of reports is a duplication of what is generally retained in various division reference collections or analyst working files.

RECOMMENDATION #6

Recommend that the registry discontinue storing finished intelligence reports since they are available from supplemental distribution in Records Center and CRS Library. The record copy is also available from the Agency Archives.

5. The registry operates out of a very small amount of space which makes it difficult to adequately arrange the work flow. Also, there are three employees in the registry with only two desks. This space shortage can be eliminated if the registry is used only for processing incoming and outgoing mail and not for the storage of reports and files.

RECOMMENDATION #7

Recommend adequate space be provided for the registry to include a desk for each employee working in the registry.

Naval Systems Division

1. The Naval Systems Division has few administrative files because this is a new division. Most files in this division are either analyst working files or reference files. The files that are maintained in combination safes are generally kept in good file order. However, it appears that the only criteria for purging files is the limitation of safe space. In order to add new material to a file, obsolete material must be removed. The office records control schedule is not being adhered to.

2. Within this area there is a vault shared jointly with the Defensive Systems Division. The best utilization of space is not being made in the vault. For the most part, material is not filed in a manner allowing quick retrieval. Material is stacked with no visible means of identification. Material that was said to be obsolete was stored on a top shelf. The vault seems to be used to store records and material without determining their ultimate disposition.

RECOMMENDATION #8

Recommend the Records Management Officer conduct a records survey of all records and material in the Naval Systems Division in coordination with the responsible people of the division and list the records under the correct file series. If records are found that do not come under a series on the records control schedule, the control schedule should be amended to include these records.

RECOMMENDATION #9

Recommend appropriate disposition be made of all material within the Naval Systems Division that is not being used on a current basis. This is to include both material stored in safes and in the vaults.

RECOMMENDATION #10

Recommend that all records located on shelves in the vault in the Naval Systems Division area be filed in a vertical position with adequate shelf guides and labels for identification.

Signal Analysis Division

1. The Division Chief's office maintains the files of the CIA member of the Telemetry Elint Beacon Analysis Committee (TEBAC). These files consist of memoranda, reports, cables, and project material reflecting activities of the TEBAC. Some of these files were created over ten years ago and are not needed for current use. The office records control schedule reads "Permanent. Destruction is not authorized. Transfer to Records Center when no longer needed in current file area." The secretary is in agreement that most of these files should be retired; however, she was unaware of the procedures involved in retiring records to the Records Center. Retirement of these records alone will eliminate the need for two and possibly three 4-drawer combination safes. This exemplifies the need for clerical personnel to be exposed to training in records disposition and file procedures.

2. Within the division area is a vault for storage of telemetry analogs, either in paper form or on microfilm. These analogs are used in the preparation of the daily missile and space summary and other missile and space reports. The analysts microfilm the analogs as time permits. Because of the analysts' present workload, the analogs are not being microfilmed. Therefore, the vault is filled to capacity with analogs. Since all of the analogs are not used on a current basis, it appears the need to microfilm them would not justify the cost.

RECOMMENDATION #11

Recommend all analogs in the Signal Analysis Division vault be screened for current and future value. Those determined to have future value to be retired to the Agency Records Center. We also recommend that an attempt be made to have the producers of the analogs (NSA) provide them to CIA on microfilm instead of hard copy.

RECOMMENDATION #12

Recommend all TEBAC files be screened and those of non-current use be retired to the Records Center.

Program Analysis Division

1. In the Non-Soviet Test Ranges Branch, a file was being kept on all library requests for documents. This is not a suspense file since a copy of the request is kept long after the document has been received. No explanation was available as to why these requests were being kept, or what use was being made of them.

2. The Non-Soviet Test Ranges Branch has acquired three units of six shelves each of roll-out Conserv-a-Files in one location and one unit of six shelves in two other locations within the branch. This shelf filing provides more useable filing space than combination safes. However, in selecting filing equipment the advantages and disadvantages of one type equipment over another should be taken into consideration. This roll-out equipment has the advantage of drop filing up to four or five shelves, but no higher. It has the disadvantage of wasted floor space when it rolls out. The standard library shelving does not have the drop filing advantage, but it eliminates the roll-out wasted space. Therefore, it would be less costly to use library shelving which is cheaper than Conserv-a-Files and gets the same amount of filing space in less floor space.

3. Three card safes were being used to retain maps and photographs of various sizes. The card trays have been removed from the safes. This arrangement for filing such materials is inadequate. Some of the photographs are rolled and others are too large for the drawers causing the photos to crack. Map cases would be better for storing this type material, allowing it to be stored in a flat position. However, map cases require more floor space which is at a premium. An alternate solution would be to use vertical files or map and plan security cabinets where photos can hang on suspension rods that roll out. Vertical files seem to be unattainable through supply channels, however, it was learned that OBGI has two such files that will become surplus in the near future. Arrangements have been made for the branch to obtain one of these when they become available, allowing for the turn-in of two of these card safes.

RECOMMENDATION #13

Recommend that a copy of document requests be kept in suspense until the requested document is received, then the document request be destroyed.

4. The Current Intelligence Branch has a good office layout and because of the current application of the material they use, there is no need to store a lot of material for reference. They do have three 5-drawer cabinets with folders that could be better utilized by filing on open shelving. Some of the folders are too long for the drawer.

RECOMMENDATION #14

Recommend the Current Intelligence Branch replace the three filing cabinets with open library shelving.

Technical Analysis Division

1. The arrangement of branch personnel is mixed in three of the four branches with different branch personnel sharing the same space. This makes it difficult for an orderly movement of information and communication although no opposition to the arrangement was detected.

2. The division has seven rows of moveable shelves. These shelves are movable to allow for different heights between shelves but generally there are 14 shelves to a row which is divided into two sections of seven shelves each. The division secretary has the responsibility for maintaining the files on only four of these shelves. The files on these four shelves are arranged in a neat, orderly fashion. However, the other shelves are assigned to individual analysts who have the responsibility for maintaining them. These shelves are not utilized to the best advantage as material is not arranged in an orderly manner. The division secretary's arrangement of her files on the shelves is a good example of how all of the filing space on the shelves should be utilized.

3. This division has four CRT terminals for analysts' use in recalling information from storage in the computer. Two of these terminals are located together in the analysts' work area and two are located in the file room with the movable shelves. This requires some of the analysts to leave their work area where their current working material is located, and go to the file room in order to use the terminal.

4. The recommendations concerning this division are not so much what analysts keep for their use, but how it is maintained. All files should be so arranged to allow for easy access to the files. When this is not done, valuable time is

lost when an analyst attempts to retrieve the information he needs. The movable shelves in this division demonstrate a means by which the maximum amount of filing space can be obtained from the available floor space. Now we should capitalize on this available filing space by arranging the files in a more easily accessible manner. Analysts are generally concerned only with accomplishing their assigned tasks, not taking into consideration other factors that may have a bearing on overall office performance such as records management. This awareness of other factors must be made known to analysts and it must become a part of their daily work.

RECOMMENDATION #15

Recommend the files in the Technical Analysis Division file room be maintained under the supervision of the division secretary.

RECOMMENDATION #16

Recommend that the two CRT terminals be moved from the TAD file room to the analysts' work area to allow for easy access by the analysts and better utilization of the terminals.

Defensive Systems Division

1. The Division Chief's office has a very efficient filing system managed by the division secretary. The files are neat and are kept current. Many of these files contain reference materials for use by personnel throughout the division. A charge out system is in effect to assure the material is returned to the file. The physical arrangement of the room requires that files be placed wherever space is available instead of all files being together, thus making it necessary for the secretary to do a lot of walking during the day. Sometimes she is out of reach of her telephone and has to rush back to her desk to answer it.

2. Soft files on the personnel in this division are being maintained for division use. This is a duplication of the same files being maintained in the Administrative Branch. Although keeping soft files in the division may be convenient, it is not a good personnel practice to have information on employees located in several places. An employee's interest must be protected and this factor must be weighed against convenience.

3. The Air Defense Branch is located in a secure area and they are making use of open shelf conserv-a-files to file reference material and analysis working files. These files are arranged in a neat order and good use is made of the available filing space. The conserv-a-file also serves as a room divider, thereby eliminating the need for a wall or other type partitions.

4. The Anti-Ballistic Missile/Anti-Satellite Branch is located in an area that is not secure, making it necessary for all classified materials to be kept in combination safes. This is not causing any problems for branch personnel, however material that could be retired to Records Center because of its infrequent use is being kept in safes. One safe had copies of reports being used as an index to reports being retained in the Records Center. Personnel from the office can check these reports to determine which reports they want to request from the Records Center. An index or shelf list of the reports in Records Center would eliminate the need to retain the reports in the branch.

RECOMMENDATION #17

Recommend personnel soft files now retained in Defensive Systems Division be discontinued since identical files are kept in the Administrative Branch.

RECOMMENDATION #18

Recommend a screening of all branch files in the Anti-Ballistic Missile/Anti-Satellite Branch take place to determine what is needed in the work area and what can be retired to the Records Center or destroyed.

Offensive and Space Systems Division

1. Most of the files in this division are maintained in two-drawer and four-drawer combination safes because the area is not secure. The majority of the files in this division are either analyst working files or analyst reference materials. Bookcases house the unclassified reference materials which encompass approximately 45 cubic feet of materials.

2. Because this division is not located in a secure area, the best utilization of floor space can not be obtained. Material that ordinarily could be stored on open shelving to allow easier access has to be stored in safes, thereby utilizing more floor

space than would be necessary otherwise. No attempt was made to determine whether the amount of materials being kept by the analysts was necessary because we felt the analysts themselves were in a better position to make that determination. However, it was noted that the analysts were not making use of the Agency Records Center for storage of working files and reference materials that were used infrequently.

3. One particular item of note was the rather sizeable collection, (5 1/2 feet) of vu-graphs used in briefings. It appears that certain of these, especially those that were used by the Office Director and other top officers' briefings, should be considered for permanent retention. The concern is not that all vu-graphs should be kept, but rather only those that support projects or are evaluated as having historical significance should be kept.

RECOMMENDATION #19

Recommend non-current division and branch files of the Offensive and Space Systems Division be retired to the Records Center on a timely basis. The office records control schedule allows for this in most cases, but there is not adequate follow-up to ensure that this is done.

Vault in Room 4G-04

This vault is shared by three divisions of OWI. The material stored in the vault is mostly an overflow of analysts working files and reference material. This material is not stored in any organized manner. Material is placed on the floor in boxes and on shelves with no consideration given to use or disposition. Files are not arranged to effect easy retrieval.

RECOMMENDATION #20

Recommend the vault in Room 4G-04 be made the responsibility of a person occupying a position with the authority necessary to establish and enforce guidelines for the proper use of the vaults.

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